University Committee on Research Involving Human Subjects (UCRIHS)

Michigan State University

APPLICATION INFORMATION AND INSTRUCTIONS

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I. UCRIHS BACKGROUND INFORMATION AND TIME REQUIREMENTS:

What Is UCRIHS?

UCRIHS is an Institutional Review Board (IRB). Federal regulations and University policy require that all research projects involving human subjects and materials of human origin be reviewed and approved by an IRB before initiation.

> Research is defined as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge" (45 CFR 46.102d). The "generalizable knowledge" criteria may include developing publications/papers, theses/dissertations, making public presentations, etc.
>
> A human subject of research is a) a living individual from whom an investigator obtains data by interaction or intervention or b) identifiable private information. (45 CFR 46.102d)

All research involving human subjects and/or data collected from living human subjects (including preexisting data) is subject to UCRIHS review.

UCRIHS' Composition

UCRIHS is a 20 member committee. MSU faculty members are appointed by their deans in consultation with their faculty advisory committee. In addition, there are members unaffiliated with the University, a representative from the Office of the Vice President for Student Affairs and Services, a legal representative two graduate student representatives and a post-doctoral fellow. These members and the non-voting Chairperson are appointed by the Vice President for Research and Graduate Studies.

How the UCRIHS review process works

The review process begins when an investigator submits a complete application to the UCRIHS office. Application forms are available from the UCRIHS office or on the Web at: http://www.msu.edu/user/ucrihs. UCRIHS assigns the application an Institutional Review Board (IRB) log number, which is sent to the responsible project investigator for reference in future communication with UCRIHS. Please reference the name of the Responsible Project Investigator and the assigned IRB# when corresponding or submitting documents to UCRIHS.

UCRIHS applications are assigned to one of three risk levels: **full board review, expedited review, and exempt from full board review**. Investigators should indicate on the application (question 13) which risk level they believe their project falls into. However, any reviewer may reassign any protocol to another review category if s/he thinks it is appropriate. Federal regulation defines research activities that may be categorized as *exempt from full board review* or *expedited review* (see Tables on pp. 6-8). All other research falls under *full board review. Exempt from full board review* protocols are sent to one reviewer; *expedited review* protocols are sent to two reviewers; and *full board review* protocols are sent to five reviewers. When the reviewer(s) is satisfied that the rights and welfare of human subjects are adequately protected, he or she forwards notice of approval to the UCRIHS office. However, if the reviewer has concerns, the reviewer prepares written comments that are forwarded to the applicant(s). The applicant(s) must then send a response to each comment, in writing, to the UCRIHS office. The comment and response process can be facilitated by using e-mail. Please be sure to include your IRB# in the subject line of e-mail correspondence. An approval letter is issued for *exempt from full review* and *expedited review* protocols as soon as the reviewer(s) has approved. *Full board review* protocols receive approval letters after the protocol has been discussed and approved by vote of the full committee at its monthly meeting. **Investigators may begin gathering data from human subjects only after receiving a signed approval letter from the Chair of UCRIHS.**

How Long Does the Review Process Take?

Applicants may submit a protocol for review at any time. The *full board review* process typically requires a **minimum** of one month to complete, longer when modifications are necessary in order to meet the concerns of UCRIHS reviewers. If a project qualifies for *exempt from full review* or *expedited review* and requires no modifications, the process normally takes **15 working** days (three weeks). **So that the research is not delayed, UCRIHS strongly recommends that investigators apply for approval at least six weeks prior to the desired starting date.**

II. FEDERAL CRITERIA FOR INSTITUTIONAL REVIEW BOARDS

IRBs are required to review and approve protocols against the following criteria according to federal regulations at 45 CFR 46 and 21 CFR 56:

- Procedures and research design do not unnecessarily expose subjects to risks.
- Risks to subjects are reasonable in relation to anticipated benefits, if any.
- Selection of subjects is equitable, taking into account special problems of research involving vulnerable populations (e.g. pregnant women, prisoners, handicapped persons, etc.)
- Informed consent will be sought from each prospective subject or subject's guardian.
- Informed consent will be documented in writing (except in special circumstances).
- Where appropriate, adequate provisions are in place to monitor the collected data to ensure safety of subjects.
- Adequate provisions are in place to protect the privacy of subjects and maintain confidentiality of data.

III. INSTRUCTIONS FOR COMPLETING THE UCRIHS PRELIMINARY APPROVAL

There are times when a project is not sufficiently advanced for an investigator to submit an application for UCRIHS review and approval (usually because he or she has not yet developed the research instruments, measures or detailed procedures). Nevertheless, the investigator might need UCRIHS approval to open an account through the Office of Contracts and Grants Administration to purchase supplies, to employ a graduate student or to apply for a grant. In such special cases, the investigator may write to the UCRIHS Chair and request preliminary approval for the project.

A Preliminary Approval is not a substitute for a normal UCRIHS application and does not allow researchers to begin contacting subjects or to begin research. Preliminary approval from UCRIHS will allow investigators to open their Contracts and Grants account and spend funds for certain purposes. **Preliminary approval is an authorization to develop the study instruments and procedures but not to contact human subjects or to collect data from them. After the investigator(s) develops the instruments and procedures, and prior to implementation, the investigator must seek standard UCRIHS approval.**

The Preliminary request must have the following information in it:

1. Name and social security number of the responsible project investigator
2. Addresses and phone numbers for all investigators
3. Project title
4. Funding source, if any
5. Contracts and Grants application number and name of the MSU Contracts & Grants officer assigned to the project, if applicable
6. Brief description of proposed human subjects activities (e.g., survey, recorded interviews, venipuncture etc.)
7. Indicate the level and category of review (see Table 1 pp. 6–8); this can be changed at a later time as the project evolves.
8. The reason for requesting preliminary (rather than standard) approval
9. Date by which the investigator(s) plans to submit a complete UCRIHS application for review
10. A formal signed commitment that no data will be collected from human subjects prior to UCRIHS review and approval of the project.

When a request for preliminary approval is received, UCRIHS will assign the project an IRB log number and send the request out for review. If the above required elements are included, UCRIHS will issue a preliminary approval letter within 2-5 working days.

IV. INSTRUCTIONS FOR COMPLETING THE UCRIHS APPLICATION

General Instructions
Although the primary obligation of UCRIHS is to protect the rights and welfare of human subjects of research, it is also concerned with the timely review of research protocols. At this time UCRIHS does not accept electronic copies of new applications and five-year renewals. Paper copies (See Table 4, p. 18 for correct number) should be sent directly to our office address. To facilitate the review of a project, the investigator should adhere to the following guidelines:

Please complete the application in full. When submitting your application, please provide all necessary attachments (any instruments/measures, consent forms, advertisements, and the "Methods" section of your research proposal, including, an investigators' brochure for drug or device studies and the correct number of collated copies (see Table 4, p. 18). Because of the high volume of applications, UCRIHS will return incomplete applications or those without sufficient copies. Do not assume reviewers are familiar with previously approved protocols, other investigators' work, or instruments you will be using.

Whenever possible, please confine your responses to the space provided on the application form. Use additional, properly numbered sheets (e.g., "Item 17, continued") if necessary.

UCRIHS will assign your application an IRB log number and inform you of it by return postcard. Please refer to that number when making inquiries and on any correspondence.

Line by Line Instructions by Question Number

The following instructions and definitions are designed to help you complete each numbered item on the application.

1. Responsible Project Investigator and 2. Secondary Investigator
Only certain persons may be designated as the Responsible Project Investigator. These include MSU regular faculty members and fixed term faculty employees with rank of assistant professor or higher. Students, staff and individuals holding other appointment titles, such as research associate, specialist, post-doctoral fellow, visiting, adjunct or clinical faculty, may be designated on the UCRIHS applications as an additional investigator, but not as the Responsible Project Investigator (MSU Research Handbook, p. 15). In the case of graduate student research for theses or dissertations, the student's major advisor should be designated on the UCRIHS applications as the Responsible Project Investigator and the graduate student as an additional investigator.

The Responsible Project Investigator's name should appear in the left-hand column and additional investigators should be recorded in the right-hand column. Please include faculty identification numbers (social security numbers) and student identification numbers (MSU student numbers, students are not identified by social security numbers).

- The responsible project investigator must sign on the left-hand side. Without signature, the application cannot be processed.
- Co-Investigators should not be listed on a UCRIHS application without appropriate ID numbers.

Sections 1 & 2 Address/Correspondence Information
This is the address to which comments, approval letter(s), and renewal reminders will be sent. Therefore, it is imperative that this information be accurate and up-to-date. Copies of correspondence will be sent to the primary and secondary investigators only. If you would like additional investigators to receive correspondence, please request this in writing and provide further address information on a separate page. To hasten the review process, UCRIHS uses e-mail as the primary route for relaying comments between reviewer(s) and investigator(s). If possible, be sure to include your e-mail address on the application.

3-5. Additional Investigator Information
Additional investigators should be listed in this section. Please include faculty identification numbers (social security numbers) and student identification numbers (MSU student numbers). Non-MSU affiliated investigators should also include their social security numbers.

6. Project Title
List your project title, even if you believe it may change later.

7. Project History
It is important to identify related projects that have previously been reviewed by UCRIHS to prevent your project from being assigned more than one IRB number. Please identify your previous IRB number(s) in the space provided.

8. Funding
Funded research is assigned an application number and/or tracking number. The MSU Office of Contracts & Grants Administration typically assigns these numbers, but in certain circumstances, research funds may come to the researcher(s) through alternative routes and/or institutions. If your research is funded, enter your funding source and enter here your MSU Contracts and Grants application number or other account number(s).

- For *Full Board Review* Protocols, please enclose two (2) copies of your complete grant application.

9. & 10. FDA Submission
Please indicate the FDA approval status of the drug/device/diagnostic test used in your study. Enclose the package insert if applicable. List the IND (Investigational New Drug) number, if applicable. If there is an investigator's brochure, provide three copies with the application.

11. Materials of Human Origin
Federal regulations and University policy require review of protocols using not only live humans but also those using blood or tissue of human origin, whether or not the investigator has any contact with the donor(s). When Investigators are using human blood or tissue obtained from sources other than the donor, the project will probably fall into category 1-4 or 2-5 (see Tables 1& 2, pp. 6–8).
Any person that will be working with human blood or other human derived potentially infectious bodily fluid, unfixed tissue/organs, cell or tissue cultures, organ cultures, culture medium or other solutions that may contain bloodborne pathogens must be included in MSU's Bloodborne Pathogen Exposure Control Program. For more information contact the Biosafety Industrial Hygienist at ORCBS at 423-8044

12. Date to Begin Data Collection
This is the date when you would **prefer** to begin data collection. However, it is not a guaranteed date. Please note, you may not begin collecting data from human subjects before obtaining UCRIHS approval.

13. Category of Review
Please circle the correct category.

a. Exempt from full board review,
b. Expedited review,
c. Full Board Review.

- Please refer to Tables 1 & 2 on the following pages. Select all of the appropriate sub-categories and enter it on the line, for example "1-1, 1-4" for an exempt protocol, or "2-2, 2-6" for expedited.

You may submit your application under the lowest appropriate category. However, if a reviewer determines the project is not eligible for the category listed, the category will be changed, and the application will be reviewed in the category designated by the reviewer.

- Investigators please note that failure to identify the appropriate category for your protocol may lead to a delay in your review. Please contact the UCRIHS staff if you need further assistance in selecting the appropriate review level for your research.
- Please note that all research involving **prisoners** or institutionalized persons will be classified as full board review.

TABLE 1: Exempt from Full Board Review Categories
A project is identified as *exempt from full board review* if the project involves no more than minimal risk and only involves human subjects (or materials of human origin) in one or more of the following categories:

CATEGORY	DESCRIPTION OF HUMAN SUBJECTS RESEARCH ACTIVITIES
1	Research conducted in **established or commonly accepted educational settings, involving normal educational practices** such as: 1) research on regular and special education instructional strategies or 2) research on the effectiveness of or the comparison among instructional techniques, curricula or classroom management methods.
2	Research involving the use of **educational tests** (cognitive, diagnostic, aptitude, achievement), **survey procedures, interview procedures or observation of public behavor** UNLESS: a. The information taken from these sources is recorded in such a manner that subjects can be identified, directly or through identifiers linked to the subjects; **and** b. Any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. (Also see Expedited category #7.)
3	Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior **IF the human subjects are elected or appointed public officials or candidates for public office**.
4	Research involving the **collection or study of existing data, documents, records, pathological specimens or diagnostic specimens**, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. (also see Expedited Category #5)
5	Research and demonstration **projects which are conducted by or subject to the approval of the Department of Health and Human Services** and which are designed to study, evaluate or otherwise examine: 1) public benefit or service programs; 2) procedures for obtaining benefits or services under those programs; 3) possible changes in or alternatives to those programs or procedures; or 4) possible changes in methods or levels of payment for benefits or services under those programs.
6	**Taste and good quality evaluations and consumer acceptance studies**, if wholesome foods without additives are consumed or if a food is consumed, that contains a food ingredient at or below the level, and for a use, found to be safe or agricultural chemical or environmental contaminant at or below the level found to be safe by the FDA or approved by the EPA/USDA.

NOTE: If using voice, video, digital, or image recordings, the review category is automatically raised to Expedited Review (see Category 2-6 on the following page). This is one of the most common misclassification errors found in applications.

Table 2: Expedited Review Categories
A project is identified as *expedited review* if it involves no more than minimal risk and only involves human subjects (or materials of human origin) in one or more of the following categories:

CATEGORY	DESCRIPTION OF HUMAN SUBJECTS RESEARCH ACTIVITIES
1	**Clinical studies of drugs and medical devices only when** (a) research on drugs for which an investigational new drug application is not required. Research on marketed drugs that significantly increases the risks or decreases the acceptability of the risks associated with the use of the product is not eligible for expedited review. **Or** (b) research on medical devices for which (i) an investigational device exemption application is not required; or (ii) the medical device is cleared/approved for marketing and the medical device is being used in accordance with its cleared/approved labeling.
2	**Collection of blood samples** by finger stick, heel stick, ear stick, or venipuncture as follows: (a) from healthy, nonpregnant adults who weigh at least 110 pounds. For these subjects, the amounts drawn may not exceed 550 ml in an 8 week period and collection may not occur more frequently than 2 times per week; or (b) from other adults and children[1], considering the age, weight, and health of the subjects, the collection procedure, the amount of blood to be collected, and the frequency with which it will be collected. For these subjects, the amount drawn may not exceed the lesser of 50 ml or 3 ml per kg in an 8 week period and collection may not occur more frequently than 2 times per week.
3	**Prospective collection of biological specimens for research purposes by noninvasive means.** Examples: (a) hair and nail clippings in a nondisfiguring manner; (b) deciduous teeth at time of exfoliation or if routine patient care indicates a need for extraction; (c) permanent teeth if routine patient care indicates a need for extraction; (d) excreta and external secretions (including sweat); (e) uncannulated saliva collected either in an unstimulated fashion or stimulated by chewing gumbase or wax or by applying a dilute citric solution to the tongue; (f) placenta removed at delivery; (g) amniotic fluid obtained at the time of rupture of the membrane prior to or during labor; (h) supra- and subgingival dental plaque and calculus, provided the collection procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques; (I) mucosal and skin cells collected by buccal scraping or swab, skin swab, or mouth washings; (j) sputum collected after saline mist nebulization.
4	**Collection of data through noninvasive procedures** (not involving general anesthesia or sedation) routinely employed in clinical practice, **excluding procedures involving x-rays or microwaves.** Where medical devices are employed, they must be cleared/approved for marketing. (Studies intended to evaluate the safety and effectiveness of the medical device are not generally eligible for expedited review, including studies of cleared medical devices for new indication.) Examples: (a) physical sensors that are applied either to the surface of the body or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subjects privacy; (b) weighing or testing sensory acuity; (c) magnetic resonance imaging (MRI); (d) electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electroretinography, ultrasound, diagnostic infrared imaging, doppler blood flow, and echocardiography; (e) moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual.

[1] Children are defined in the HHS regulations as "persons who have not yet attained the legal age for consent to treatments or procedures involved in the research, under the applicable law of the jurisdiction in which the research will be conducted."

(Table continued on next page)

Table 2: Expedited Review Categories (CONTINUED)

CATEGORY	DECRIPTION OF HUMAN SUBJECTS RESEARCH ACTIVITIES
5	**Research involving materials** (data, documents, records, or specimens) **that have been collected, or will be collected solely for nonresearch purposes** (such as medical treatment or diagnosis). (Also see Exempt from Full Board Review category #4)
6	**Collection of data from voice, video, digital, or image recordings made for research purposes.**
7	**Research on individual or group characteristics or behavior** (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) **or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies.** (Also see Exempt from Full Board Review category #2).
8	**Continuing review of research previously approved by the convened IRB as follows:** (a) Where (i) the research is permanently closed to the enrollment of new subjects; (ii) all subjects have completed all research-related interventions; and (iii) the research remains active only for long-term follow-up of subjects; or (b) Where no subjects have been enrolled and no additional risks have been identified; or (c) Where the remaining research activities are limited to data analysis.
9	**Continuing review of research,** not conducted under an investigational new drug application or investigational device exemption where categories 2-2 through 2-8 do not apply but the IRB has determined and documented at a convened meeting that the research involves no greater than minimal risk and no additional risks have been identified.

Note: For research in **Expedited category #5** data is not publicly available &/or is recorded in a manner that subjects can be identified directly or through identifiers.

For research in **Expedited category #7** subjects can be identified AND disclosure of the data outside the research could place subjects at risk of civil or criminal liability or be damaging to the subjects' financial standing, employability or reputation.

14. Multi-Site Project

ONLY answer yes if you are the Responsible Project Investigator for a Public Health Service (PHS) funded, *full board review* project where data will be collected at multiple sites (e.g., hospitals or universities in the U.S. or other countries) and MSU is the lead institution.

15. Research Category

Check all the categories listed that describe your research protocol.

16. Abstract

Provide in lay terms a brief (200 words or less) description of the project including its purpose and general design. This can be identical or similar to the summary required when submitting a grant application to a funding source. Additionally, please indicate if this research is for a thesis or dissertation.

17a. Procedures

Briefly describe all project activities that involve human subjects, materials of human origin or existing data originally collected from human subjects. This includes methodologies and measures for collecting data and/or methods for analysis of pre-existing data originally collected from human subjects.

If using pre-existing data, please describe your proposed analyses and use of this information. Use of pre-existing data may require permission from the data source/agency and/or subject especially if data is of a sensitive nature or if data was collected with subjects' expectation of privacy. Feel free to contact the UCRIHS staff if you have questions or need further clarification.

- For both prospective and retrospective research studies, it is important to describe the proposed analyses and include any appropriate descriptions and measure/indicators.
- Please note that investigators should enclose the correct number of copies of instruments (e.g., surveys, interview questions, questionnaires, etc.) and measures with their application according to the category of review (See Instructions Table 4, p.18). If performing interviews, include a list of questions with your application.

17b. Incomplete Disclosure/Deception

Investigators may sometimes design a project in such a way that subjects do not initially know the actual intent of the research. In all cases of research involving incomplete disclosure and/or deception, the research is justified only if it is clear that:

1. Incomplete disclosure/deception is truly necessary to accomplish the goals of research,
2. There are no undisclosed risks to subjects that are more than minimal, and
3. There is an adequate plan for debriefing subjects, when appropriate, and for dissemination of research results to them.

Information about risks should never be withheld for the purpose of eliciting the cooperation of subjects, and truthful answers should always be given to direct questions about the research. Care should be taken to distinguish cases in which disclosure would destroy or invalidate the research from cases in which disclosure would simply inconvenience the investigator.

Wherever possible, subjects must be debriefed when their participation is complete. These debriefing procedures must be submitted and reviewed by the IRB before a project may be approved.

18. Subject Population

Whenever possible, the choice of research subjects should be equitable and should come from various income and ethnic groups. Excessive representation of the indigent, disadvantaged or otherwise vulnerable subject populations is discouraged.

a. Briefly describe the subject population. If minors are to be used, indicate the range in their ages.

b. Study population: UCRIHS needs this information because certain categories of subjects, whether part of a targeted population or included incidentally (e.g. as part of a random sample) may be provided

special protections under the federal regulations. **Failure to complete this question accurately is the most frequent oversight by UCRIHS applicants and leads to delays in project approval.**

- It is important to mark **all** the categories of subjects that **may** be included in your research, either by design or incidentally, not just your "target population."

c. Expected number of subjects: Total number of subjects to be included in your research, including controls. If using preexisting data, indicate the number of cases. Approximations are acceptable.

d. Subject Recruitment: Advertising
Explain how subjects will be recruited. If your project includes an advertisement and/or other information to recruit subjects (e.g. letters, phone scripts, flyers, newspaper ads, etc.), please describe and enclose with your application. The advertisement should be limited to the following but must contain (1) and (2):

1. The name and address (or phone number) of the investigator;
2. The purpose of the research and, in summary form, the eligibility criteria that will be used to admit subjects into the study;
3. Straightforward and truthful description of the benefits (e.g., payment or free treatment) to the subject from participation in the study; and
4. The location of the research and the person to contact for further information.

- No claims should be made, either explicitly or implicitly, that any drug, device, treatment or procedure is safe or effective for the purposes under investigation or that it is in any way equivalent or superior to any other.

- Investigators may not advertise UCRIHS endorsement of your research protocol either in recruitment materials or consent forms.

e. Explain the nature of your association with subjects. If there is any potential for coercion or undue influence with subjects (for example, in a teacher-student relationship), please discuss what measures you are taking (if any) to minimize that risk.

f. Will anyone receive payment and compensation for recruiting subjects? If yes, provide the details including any conditions of awards/reimbursement/bonuses.

g. Provide the details concerning any payment or compensation arrangements to subjects including any conditions of awards/reimbursement. This includes extra credit provided to student subjects (See item 6, p. 14). Be sure to address the consequences of withdrawing from a project prior to completion. Corresponding information must also be in the consent form. Prizes/awards given to subjects based on chance (e.g. entered into a drawing) should be limited to $100.00 or less. There is no cash limit on awards/reimbursements that **all** participants receive.

- Please note that compensation to volunteer subjects should never be so high as to constitute an undue inducement to participate in investigative work, and should generally be limited to nominal amounts, e.g. reimbursement for out-of-pocket expenses and time.

h. Will subjects incur any additional expenses as a result of their study participation (including insurance co-payments on medical protocols)? If yes, describe and include an explanation on the consent form.

- Remember, if you answer yes to either question g. or h., corresponding information must be included in the consent form. See Table 3, pp.15 –17.

i. Certain populations may be marginalized or otherwise “disadvantaged” from a dominant “Western” society’s point of view. The investigator should decide if their subject population is somehow different from the “mainstream culture” and then discuss if the scope of the proposed research might potentially pose any real or perceived risk to subjects. If research with this group may pose complications discuss in the following section (#18,i, (3)) how the proposed research involving this group may pose additional risks, including maintaining confidentiality and assuring informed consent, and what additional measures the investigator is taking to minimize these risks to research participants.

- As a general rule, research involving non-English speaking populations (both in and outside of the United States) would generally require a “yes” answer to #18-i.

Special Categories of Human Subjects and Vulnerable Populations:
As a general rule, UCRIHS does not approve research that makes use of minors, individuals with diminished capacity, or pregnant women if the research and its objective(s) can be met from enrolling other subject populations.

As a rule, no research shall be conducted with prisoners unless the investigator can demonstrate that a direct benefit can result to prisoners in general and preferably to the subjects in the proposed study.

If the research can only be conducted using these vulnerable classes of subjects, UCRIHS will review the protocol with particular attention to risks, benefits and consent procedures. Please refer to the UCRIHS Policy Manual for more detailed information and/or contact the UCRIHS staff for further clarification.

19. Subject Privacy
Describe procedures and safeguards you will use to insure confidentiality and/or anonymity. Researchers must propose to protect human subjects' rights with regard to privacy by using research designs that safeguard subjects' privacy during the gathering and storage of data. Be sure to discuss in the application how the integrity and security of stored data will be assured. Explain who will have access to the data. (See the University Research Council's guidelines on Research Data: Management, Control and Access on the UCRIHS web site (www.msu.edu/user/ucrihs). UCRIHS reviewers generally prefer data to be stored in a locked cabinet or on password protected computers in a locked room.

Investigators should be careful to distinguish between anonymity and confidentiality. UCRIHS defines these terms as follows:

> **Anonymity** means that no one, including the principal investigator, is able to associate responses or other data with individual subjects. Investigators may promise anonymity only under this condition. Data collection involving face-to-face contact or taped recordings is not anonymous.
>
> **Confidentiality** means that although subjects' identities may be known to the investigator(s) and the research staff, subjects' identities will be kept confidential and reports of research findings will not permit associating subjects with specific responses or findings. Investigators must provide adequate procedures to guarantee confidentiality, including security for data that contains subject identifiers.

Disposition of Research Data: The researcher should discuss both on the UCRIHS application and in the consent form the disposition of the collected information. Who will have access to the raw data? How long and where will the data be stored.

Data Reporting: In general, data gathered from subjects should be reported by investigators (e.g., articles, conferences etc.) only in the aggregate so that individual subjects may not be identified or associated with the data they provided. However, certain research protocols by their nature may require reporting of data that is either directly identifiable or indirectly attributable, such as in oral histories. In these cases subjects should be explicitly informed as to the limits of confidentiality being offered and how the data is to be reported (See Table 3, pp.15–17)

20. Risk and Benefit to Subjects
Investigators should be aware that conducting research on human subjects may pose inherent risks. Carefully analyze the risks and benefits of your study. Completely answer the following three items:

a. Describe and assess any potential risks (physical, psychological, social, legal, economic) and assess the likelihood and seriousness of such risks.
b. Describe procedures for protecting against or minimizing potential risks and an assessment of their likely effectiveness.
c. Assess the potential benefits (if any), to be gained by the subjects in this study, as well as benefits which may accrue to society in general as a result of the planned work.

21. Conflicts of Interest

Potential for conflicts of interest occurs when the researcher or a member of the researcher's immediate family receives financial or other rewards (e.g, computers, software, laboratory equipment) from the sponsor of the research or has a potential financial interest in the outcome of the research. If # 21 of the UCRIHS application discloses potential conflicts of interest, the sponsor and the researcher's relationship with the sponsor should be briefly described on the consent form. (See Table 3, item 5, p.15 for sample statements.) For FDA studies, please provide 2 copies of Form 3454 or 3455 with your UCRIHS application.

22. Consent Procedures

With very few exceptions research protocols must include a consent procedure. That is, the opportunity for subjects to make a fully informed decision whether or not to participate in the research. Describe the consent procedures to be followed, involving how and where informed consent will be obtained. Informed consent is an on-going process, not just the securing of a signature. Subjects should always have the opportunity to ask questions and express concerns to investigators about their participation in the research. Also, a statement of significant new findings developed during the course of the research which may relate to the subject's willingness to continue participation should be provided to the subject. All subjects should be given a copy of their signed consent form when possible. **Include the appropriate number of copies of your consent form with this application.** (See Table 4, p.18).

Written consent

Written consent forms are usually required. However, under certain circumstances, (e.g., when using questionnaires to collect data), investigators may incorporate the elements of consent into a letter or instruction sheet accompanying a data-collection instrument. (See Table 3, item 9, p. 15)

Oral consent

Occasionally, informed consent may be obtained orally in situations where written consent is deemed inappropriate or culturally disrespectful. In all cases the IRB must review, in advance, the language that will be used to obtain oral informed consent. Researchers proposing to obtain informed consent orally must include a script of the oral consent language with their UCRIHS application. Oral informed consent should include all the elements of informed consent. (see Table 3 pp. 15–17) including contact information for the investigator and the IRB. Unless it increases risk, that contact information should be given to the subjects in writing. Investigators should keep a log documenting the oral consent process throughout the duration of the study.

Passive Consent

"Passive" or "negative" consent language is not permissible under University and federal policies protecting human subjects of research. Passive consent is a practice of informing potential subjects that they will be included unless they explicitly object to their inclusion.

The practice of "passive" consent may be widely used and may be legally appropriate for some purposes. However, it is impermissible under the regulations protecting human subjects for the following reason.

With few exceptions "Informed consent" is required by the regulations protecting human subjects. Informed consent means that the subjects or their legal guardians must have sufficient information to understand the nature of the research to knowledgeably and voluntarily decide whether or not to participate. They may need to ask questions of the researchers to gain this information. It is the investigator's responsibility to assure that the subjects or their parents/guardians have provided informed consent. Therefore, affirmative consent is required, usually as a signature on the consent form, although under certain circumstances UCRIHS does permit oral consent.

Subject's Withdrawal of Consent

A request by any subject to withdraw his/her consent and to discontinue participation in the investigation shall be honored promptly and unconditionally. Investigators may not withhold benefits to subjects that they would be otherwise entitled to (e.g., other extra credit opportunities for students, or medical/psychological care for patients that would be normally available). Ordinarily, subjects may not prohibit researchers from using the data provided while they were participating voluntarily in the project.

Foreign Language Consent
If enrolled subjects are not fluent in English, translations of the consent form into the subject's primary language(s) must be reviewed and approved by UCRIHS before these subjects can be enrolled. It is solely the responsibility of the Investigator to ensure that any translation is error free. An English version of the consent should also be submitted with the translated consent.

Waiver of Consent
Under the following conditions (per 45 CFR 46.116 (d)), an IRB may waive the requirements for consent:
(1) the research involves no more than minimal risk to the subjects; and
(2) the waiver or alteration will not adversely affect the rights and welfare of the subjects: and
(3) the research could not practicably be carried out without the waiver or alteration; and
(4) whenever appropriate, the subjects will be provided with additional pertinent information after participation.

These conditions may apply, for example, to the use of existing data but all the conditions have to be met for the IRB to grant a waiver.

V. CAREFULLY REVIEW THE FOLLOWING CONSENT FORM(S) GUIDELINES BEFORE COMPLETING AND SUBMITTING TO UCRIHS:

This list is not exhaustive of required elements of consent (see Table 3, pp.15–17) but highlights some important points of the consent process that have been recently reinterpreted by the federal government or are of special concern to UCRIHS reviewers. Please refer to Table 3 for the required elements of consent

1. **Informed consent is a process, not just a form**. Information must be presented to enable persons to decide voluntarily whether or not to participate as a research subject. It is a fundamental mechanism to ensure respect for persons who may be willing to offer their bodies and experiences to assist investigators in research without promise of benefit.

   The procedures used in obtaining informed consent should be designed to educate the subject population in terms that they can understand. Therefore, informed consent language and its documentation must be written in "lay language" (i.e. understandable to the people being asked to participate.). Use of scientific jargon and legalese is not appropriate. Simple declarative sentences are most appropriate for explaining the study's purpose, duration, experimental procedures, alternative treatments (if applicable), risks, and benefits. Think of the consent form as primarily **a teaching tool and not as a legal instrument**.

2. Consent forms should be **written in the second person**. The Office for Human Research Protections (ORHP, formerly OPRR) says that the use of the first person (e.g. "I will view seven videos," "I give permission to…") can be interpreted "as suggestive … and can constitute coercive influence over a subject." The second person pronoun e.g., "you are being asked to participate in a study because…." is preferred because it is inherently more open and conversational with subjects. Use of first person may also be interpreted as presumption of subject consent, i.e., the subject has no choice. The second person writing style helps to communicate that there is a choice to be made by the prospective subject. Simple declarative sentences are best using the second person pronoun written just as the investigator would give an oral explanation to the subject, that is, the subject is addressed as "you" and the investigator as "I/we."

3. The use of **the word "understand"** in consent forms **is discouraged**. Use of the wording, "I/you understand..." in informed consent documents is also inappropriate as some prospective subjects may not "understand" all the statements. Also, the tone of the first person "I/you understand" style seems to misplace emphasis on legal statements rather than on explanatory wording enhancing the subject's comprehension. Subjects simply agree to participate following a detailed explanation and discussion of the study and its potential risks.

4. The consent form should **not include any language** whereby the subject waives or appears to waive, any of his/her legal rights. Further, it should not include any exculpatory language releasing the institution or its agents from the responsibility to subjects.

5. The consent form **may not indicate UCRIHS endorsement** of the research.

6. Be sure to **describe in your consent form any incentives** that encourage subject participation. Cash prizes/awards given to subjects based on chance (e.g. entered into a drawing) should be limited to $100.00 or less. There is no cash limit on awards/reimbursements that all participants receive if the amount awarded does not pose a coercive influence on the subject's decision to participate.

   UCRIHS generally approves of giving of **course credit or extra credit to students** who participate in research only when alternative and equivalent means of obtaining credit is made available to students who do not wish to volunteer as research subjects. When student subjects are offered class extra credit for participating in research studies, this information including any conditions of receiving credit should appear in the consent document.

7. Statements concerning confidentiality should include language equivalent to the following: **"Your privacy will be protected to the maximum extent allowable by law."** Since there are situations in which a researcher may be compelled to break the confidentiality of subjects (e.g., in response to a subpoena, or at the request of UCRIHS), no absolute guarantees to privacy are possible.

8. All consent forms should include a **description of any foreseeable risks to subjects**. Medical consent forms should include a phrase explaining the **possibility of unforeseeable risks**. When a treatment is involved alternative treatments/therapies, including standard therapy must be described BEFORE the description of the research protocol.

9. **Audio/Video/Film Consent Considerations:** Taping and/or filming of subjects should be indicated in the consent form and there should be signed permission by the subject to be taped/filmed. The consent form should indicate how these materials will be used. Will tapes be kept or destroyed at the end of the study? What will the investigator do if the subject withdraws?

10. All consent forms should **include the researcher's contact information** and **MSU's UCRIHS contact information.** Participants should be invited to contact the researcher to discuss any questions about the research or research related injuries. Additionally, the consent form should plainly state that if participants have questions regarding their role and rights as a subject of research, they may contact the IRB separate from the Project Investigator.

    The following phrase is recommended: "If you have any questions about this study, please contact the investigator *(Responsible Project Investigator, address, phone number, and e-mail if appropriate)*. If you have questions or concerns regarding your rights as a study participant, or are dissatisfied at any time with any aspect of this study, you may contact – anonymously, if you wish – Ashir Kumar, M.D., Chair of the University Committee on Research Involving Human Subjects (UCRIHS) by phone: (517) 355-2180, fax: (517) 432-4503, e-mail: ucrihs@msu.edu, or regular mail: 202 Olds Hall, East Lansing, MI 48824. "

11. **Subjects should be provided with a copy of the consent form** whenever feasible. UCRIHS requires full-review medical protocols to include proof of subject receipt.

12. Any potential for real or perceived **conflict of interest** should be disclosed in the consent document.

13. Language immediately before the participant's signature should simply say **"I voluntarily agree to participate in this study." or "Your signature below indicates your voluntary agreement to participate in this study."** It is not necessary to reiterate information presented earlier in the consent document.

14. Investigators should use a consent form with the **actual UCRIHS approval/expiration stamp**. Investigators should format their consent form leaving a blank space at least 2" high by 3.5" wide at the bottom of the last page/signature page where approval stamps are placed.

15. **By federal regulation, investigators must retain copies of signed consent forms or oral consent records** for at least three years past the completion of research activities. For audit purposes, it is recommended that copies of all documents submitted to UCRIHS also be kept for three years following study completion.

Table 3: Elements of Consent
The consent form, instruction sheet or explanatory letter should include, but need not be restricted to, the applicable statements or concepts that follow:

ITEM	DESCRIPTION
1. Title and summary explanation of research	The title of the research project must appear across the top of the consent form. A reasonable summary explanation of the research, its purposes and procedures in language that can be understood by the research subject should appear in the first paragraph.
2. Estimate of subject's time	An estimate of the total amount of time required on the part of the subject (number of sessions, frequency of testing, etc.).
3. a) Voluntary participation; b) Refusal to participate; c) Discontinuing participation without penalty	Explanation that participation is voluntary; that subjects may choose not to participate at all, or they may refuse to participate in certain procedures or answer certain questions or may discontinue the experiment at any time without penalty or loss of benefits to which the subject is otherwise entitled.
4. Confidentiality and anonymity	Data gathered from human subjects are to be treated with strict confidence on the part of the investigator except in special circumstances approved by UCRIHS. The subjects shall not be identifiable in any report of research findings; on request and within these restrictions results may be made available to subjects. Disposition of data including who will have access to the data should also be included. **NOTE** Consent forms should include the following statement regarding confidentiality: "**Your privacy will be protected to the maximum extent allowable by law.**" All drug or medical device study consent forms should carry notice that the FDA, study sponsor and the IRB may inspect all records, including subject records.
5. Researcher Conflicts of Interest	Potential for conflicts of interests occur when the researcher or a member of the researcher's immediate family receives financial or other rewards (e.g, computers, software, laboratory equipment) from the sponsor of the research. If Item 19 of the UCRIHS Application discloses a potential conflict of interest, the sponsor and the researcher's relationship with the sponsor should be briefly described on the consent form. Some sample statements are: a. "The research described is supported by a grant from xxx to MSU on which Dr. Y is a principal investigator." b. "The research is sponsored by Company X and Dr. Y is serving as a consultant to the company on this project." c. "The researcher is sponsored by Company X, and Dr. Y discloses that he owns stock in the company (serves on the board of the company)." etc.
5. Contact person(s) for subjects *This point is more fully elaborated on the previous page	a. Instructions on how to contact study personnel (name, phone number and e-mail) regarding any questions or concerns that may be raised by participating in the study, b. UCRIHS contact information should also be provided. See p. 14 #10 for the acceptable wording for this reference.
7. Minor subjects	If the subject is a minor, provisions should be made for obtaining parent's or guardian's informed **consent** (signature) and the minor's signed consent or verbal **assent** whenever feasible.
8. Debriefing procedure	When appropriate, a procedure for debriefing the subjects should be included (this is required when experiments involve deception).
9. Consent in cover letter, face sheet or via phone	If the investigator chooses to incorporate the elements of consent in a cover letter or face sheet to a written questionnaire, or as part of a phone contact **the consent statement must include:** "You indicate your voluntary agreement to participate by completing and returning this questionnaire." Or "You indicate your voluntary agreement to participate by beginning this phone interview."

ITEM	DESCRIPTION
10. Experimental procedures	Identification of any procedures which are experimental; a description of any reasonably foreseeable risks or discomforts to the subject; a statement to the effect that the experiment has been explained to the subjects, including any inherent risks and/or discomforts. *Note: Alternatives to proposed medical study therapy should be described in the consent form **before** the study therapy and research description section of the consent form.
11. If a treatment is involved	If a treatment is involved, no beneficial effects may be guaranteed; in the case of experimental treatment, subjects are to be informed of alternative or standard treatments available and their record of success.
12. Risk of physical injury to the subject(s) (Note: The National Bioethics Advisory Commission Report, August 2001 asserts: "Participants who are harmed as a direct result of the research should be cared for and compensated.)	If there is a risk of injury to the subject(s), <u>one of the following three statements must appear</u> on the consent form: **If the research is performed at Michigan State University facilities or by Michigan State University employees or students:** a) If you are injured as a result of your participation in this research project Michigan State University will provide emergency medical care if necessary. You will not be held responsible for any medical expenses incurred as a result of this injury. All such medical expenses incurred by you as a result of this injury shall be paid by (name of payee). **<u>OR</u>** b) If you are injured as a result of your participation in this research project, Michigan State University will provide emergency medical care if necessary. If the injury is not caused by the negligence of MSU you are personally responsible for the expense of this emergency care and any other medical expenses incurred as a result of this injury. **If there is risk of injury to the subject(s) but the research is not performed at MSU facilities and is performed by persons who are not MSU employees or students and who do not identify themselves as associated with MSU:** c) A statement must appear in the consent form that indicates: 1) who will be responsible for providing emergency medical treatment in the event of injury and 2) who will be responsible to pay for this treatment.
13. Placebo-control studies	UCRIHS requires that the following paragraph be placed in the consent form of placebo-control studies. It may be modified as necessary for the terms of your study: This is a placebo-controlled study. There will be two (or more) groups of patients; one or more groups will receive the active drug which is being studied; the other(s) will receive a placebo. A placebo is an inactive substance which will have no direct effect on your illness. The patients in the study will be assigned at random, that is, by a method of chance, to one of the groups. You will have an equal chance of being in a placebo group or an active drug group. Neither you nor your physician will know which group you are in.

CONSENT FORMS SHOULD INCLUDE (continued)

ITEM	DESCRIPTION
14. Economic costs to subjects	This section applies only where subjects are paying some kind of fee for service and there is a need to distinguish fees for ordinary care or service from such fees that might result from the subject's participation in research. Investigators must incorporate one of the following three paragraphs in their consent forms. a) Your participation in this research project will not involve any additional costs to you or your health care insurer. **OR** b) Your participation in this research will necessitate additional procedures (indicate procedures, e.g., obtaining medical tests and examinations) which will be discussed with you. The cost may be covered by your insurance. Those costs not covered by the insurance will be provided by research funds. However, you will still remain responsible for the insurance deductibles and co-pays. **OR** c) Your participation in this research project may involve additional costs to you for (indicate source of cost, e.g., drugs, device, diagnostic procedure, therapeutic procedure). Your health care insurance probably will not pay for all of these additional costs. We (or your health care provider) estimate that the additional, unreimbursed costs to you will not exceed ($). If actual costs exceed this estimate, you are still responsible for them.

VI. CHECKLIST FOR COMPLETE UCRIHS APPLICATIONS

Table 4: Number of Copies Required by Category of Review:

	Exempt	Expedited	Full
Completed Applications	**2**	**3**	**6**
Instruments/Measures (if any)	**2**	**3**	**6**
Consent Form(s)	**2**	**3**	**6**
Advertisements/Recruitment forms (if any)	**2**	**3**	**6**
Grant Application	**0**	**0**	**2**
FDA Form 3454 or 3455, if applicable	**0**	**2**	**2**
Investigators' brochure, if applicable	**N/A**	**N/A**	**3**
Copy of the "methods" chapter of your research proposal (for MA/Ph.D. projects)	**1**	**1**	**1**

- NOTE: INVESTIGATORS MUST PROVIDE ENGLISH TRANSLATIONS OF ANY DOCUMENTS WRITTEN IN ANOTHER LANGUAGE.

VII. RENEWING UCRIHS APPROVAL

UCRIHS approval is valid for a **maximum of one year** based on the approval date found on the UCRIHS approval cover letter and the stamped consent form(s). Project investigators continuing to collect data from human subjects beyond the approval period must apply for renewed approval prior to the expiration date.

UCRIHS strongly recommends that investigators wishing to continue collecting data request renewal at least one month before current approval expires. To assist investigators, the UCRIHS office will send a renewal reminder letter approximately one month prior to the approval expiration date.

To request renewed approval during the first four years of a project, the responsible project investigator must complete and return to UCRIHS the renewal application form and a current consent form. Students who wish to renew approval of their protocols must have the Responsible Project Investigator (usually their major professor) sign the renewal application form. Applications for renewed approval may be submitted as an e-mail attachment. The accompanying e-mail must originate from the Responsible Project Investigator's MSU Pilot e-mail account. Incomplete renewal applications will be returned.

Reviews for renewed approval for projects in the *exempt from full board review* and the *expedited* categories are usually completed in ten to fifteen **working** days. Applications for renewed approval of projects in the *full board review* category are reviewed by the full committee at its monthly meeting. Therefore, review of these applications may take up to one month or longer depending on the date received.

VIII. FAILURE TO RENEW

Failure by the Responsible Project Investigator to submit an application for renewed approval prior to the expiration date will automatically result in termination of the UCRIHS approval of the research. If approval has lapsed but the investigator wants to renew approval, s/he should contact the UCRIHS office.

IX. FIVE YEAR RENEWALS

Investigators whose projects have been ongoing for four years and wish to continue research must submit a new full application for UCRIHS review. Be sure to indicate the application is for a five-year renewal and include the previously assigned IRB number to the project.

X. REVISIONS

UCRIHS must review any changes in procedures involving human subjects **before** the initiation of the changes. Requests for revisions must include a completed copy of the one page **Study Revision Form** with

applicable attached documents. The Responsible Project Investigator may e-mail this form as an attachment from his/her MSU Pilot account: ucrihs@msu.edu.

Revision requests must be made by the Responsible Project Investigator. Revision requests are not accepted from study Co-Investigators without a written endorsement from the Responsible Project Investigator. Before implementing changes, investigators must receive a letter from UCRIHS approving the proposed revisions.

Normally, it is necessary to submit only one copy of your revision request documents if the proposed change(s) entails no additional risks to subjects. If there are additional risks, for example, adding more sensitive questions to approved instruments, or there is information that must be reviewed by UCRIHS' physician reviewers, please send three copies.

- Examples of revisions include changes to: survey/questionnaire, consent form(s), subject population, recruitment strategy or advertising, etc.

- Changes of the Responsible Project Investigator and/or to the co-investigator(s), project title, as well as funding information are also considered changes to the human subjects protocol and must be reviewed and approved by UCRIHS.

Any new information including all medical study adverse events which may possibly indicate greater risk to subjects must be reported immediately in sufficient detail for committee review. Reports noting increased risk should be addressed to the Chair of UCRIHS.

XI. STUDENT RESEARCH IN COURSES

In some courses students collect data by using professional research methods, even though the students' work is not expected to contribute to generalizable knowledge. Where student research in courses involves no more than minimal risk to subjects , (see exempt from full board review definitions, Table 1, p. 6) UCRIHS has a policy of delegating to 'regular faculty' (See p.4, section IV, item 1 for further definition) the primary responsibility for assuring that the rights and welfare of human subjects are protected. All of the following conditions must first be met:

1. The research review category would normally fall under the exempt from full review category (see Table 1 p. 6), and

2. The purpose of the student investigation is solely for the fulfillment of a course requirement, and

3. The faculty member takes responsibility for communicating to students ethical principals of research, reviews student research protocols, monitors students research activities and reports of findings, and assures that the student's own work does not violate human subjects protections.

Further information for instructors is available in the short document Principles, Policies and Procedures for the Review of Research on Human Subjects: Student Research in Courses at Michigan State University, which is available at the UCRIHS web page (www.msu.edu/user/ucrihs) or at the UCRIHS office. Please note that student research involving more than minimal risk to subjects must by submitted to and approved by UCRIHS prior to any data collection.